

# EXHIBIT A

Substitute for form 1449/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 12

**Complete if Known**

Application Number	10/565,484
Filing Date	January 17, 2006
First Named Inventor	CHEUNG, Nai-Kong V.
Art Unit	1823
Examiner Name	Eric Olson
Attorney Docket Number	639-C-PCT-US

**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number-Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
1	US- 7,030,101	04-18-2006	Pavliak et al.		
2	US- 6,143,731	11-07-2000	Jamas et al.		
3	US- 6,117,850	09-12-2000	Patchen et al.		
4	US- 6,020,324	02-01-2000	Jamas et al.		
5	US- 5,817,643	10-06-1998	Jamas et al.		
6	US- 5,811,542	09-22-1998	Jamas et al.		
7	US- 5,804,199	09-08-1998	Aasjord et al.		
8	US- 5,783,569	07-21-1998	Jamas et al.		
9	US- 5,726,023	03-10-1998	Cheeever et al.		
10	US- 5,702,719	12-30-1997	Byron A. Donzis		
11	US- 5,696,079	12-09-1997	Lane et al.		
12	US- 5,622,940	04-22-1997	Gary Ostroff		
13	US- 5,607,677	03-04-1997	Jamas et al.		
14	US- 5,576,015	11-19-1996	Byron A. Donzis		
15	US- 5,532,223	07-02-1996	Jamas et al.		
16	US- 5,037,972	08-06-1991	Jamas et al.		
17	US- 4,992,540	02-12-1991	Jamas et al.		
18	US- 4,926,094	05-15-1990	Bondeson et al.		
19	US- 4,900,722	02-13-1990	Williams et al.		

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No.	Foreign Patent Document Country Code <sup>3</sup> "Number" "Kind Code" (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T <sup>4</sup>
40	WO 2007/84661		07-26-2007	Skolk-Kalberg Institute for Cancer Research		
41	WO 2006/119395		11-09-2006	Biopolymer Engineering		
42	WO 2006/85895		08-17-2006	Biopolymer Engineering and Use		
43	WO 2005/49044		06-02-2005	Laboratoires Goemar SA		
44	WO 2005/27938		03-31-2005	Laboratoires Goemar SA		
45	WO 2005/27936		03-31-2005	Laboratoires Goemar		

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Substitute for form 1449/PTO

**Complete if Known****INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet

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of 12

Application Number	10/565,484
Filing Date	January 17, 2006
First Named Inventor	CHEUNG, Nai-Kong V.
Art Unit	1623
Examiner Name	Eric Olson
Attorney Docket Number	639-C-PCT-US

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20	US 4,705,780		11-10-1987	Massot et al.	
21	US 4,454,289		06-12-1984	Nakajima et al.	
22	US 4,343,784		08-10-1982	Massot et al.	
23	US 4,251,519		02-17-1981	Robbins et al.	
24	US 3,975,553		08-17-1976	Henri Griffon	
25	US 2007/134259		06-14-2007	Bundle et al.	
26	US 2007/59310		03-15-2007	Steven J. Karel	
27	US 2007/20232		01-25-2007	Rossignol et al.	
28	US 2007/263355		11-23-2006	Quan et al.	
29	US 2006/165700		07-27-2006	Ostroff et al.	
30	US 2006/180766		07-20-2006	Nai-Kong V. Cheung	
31	US 2006-0020128		01-26-2006	Nai-Kong V. Cheung	
32	US 2006/09419		01-12-2006	Ross et al.	
33	US 2005/208079		09-22-2005	Cassone et al.	
34	US 2005/118187		06-02-2005	Baofa Yu	
35	US 2002/119928		08-29-2002	Bill H. McAnalley	
36	US 2002/44919		04-18-2002	Baofa Yu	
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46	WO 2004/30613		03-16-2004	University of Louisville Research		
47	WO 2003/54077		07-03-2003	Coagro Inc.		
48	WO 2003/004507		01-16-2003	Research Center for Eco-Environmental Sci.		
49	WO 2002/58711		08-01-2002	Sloan-Kettering Institute for Cancer Research		
50	WO 2001/80807		11-01-2001	Laboratoires Gomar SA		
51	WO 2001/68105		11-20-2001	Eurand Pharmaceutical		

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

Sheet 3 of 12

**Complete if Known**

Application Number 10/665,484

Filing Date: January 17, 2008

First Named Inventor: CHEUNG, Nai-Kong V.

Art Unit 1623

Examiner Name **Eric Olson**

Attorney Docket Number 639-C-PCT-US

**U. S. PATENT DOCUMENTS**

## FOREIGN PATENT DOCUMENTS

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	52	WO 1999/52548	10-21-1999	Lees et al.	
	53	WO 1991/03248	03-21-1991	Alpha Beta Technology Inc.	
	54	EP 0463540A1	02-01-1992	Taito Co., et al.	
	55	DE 30 19 614 A1	12-03-1981	Matsueda et al.	

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				Filing Date	January 17, 2006
				First Named Inventor	CHEUNG, Nai-Kong V.
				Art Unit	1623
				Examiner Name	Eric Olson
Sheet	4	of	12	Attorney Docket Number	639-C-PCT-US

OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.				T <sup>2</sup>
	37	Supplementary Partial European Search Report, February 5, 2008, for European Application No. EP 02 70 7502, filed August 4, 2003 for SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH.				
	38	PCT International Search Report for SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH, September 26, 2007, Int'l Application No. PCT/US07/01427 (Atty. Dkt. #639-F-PCT), Filed January 18, 2007.				
	39	PCT Written Opinion of the International Searching Authority for SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH, September 26, 2007, Int'l Application No. PCT/US07/01427 (Atty. Dkt. #639-F-PCT), Filed January 18, 2007.				
	56	Chinese Office Action, May 9, 2008, for SLOAN-KETTERING INSTITUTE FOR CANCER RESEARCH, Chinese Application No. 200480020356.6 (Atty. Dkt. #639-C-PCT-CN), Filed January 16, 2006, corresponding to PCT/US04/23099.				
	57	U.S. Office Action, March 5, 2008, for Nai-Kong V. CHEUNG, U.S. Serial No. 11/334,763 (Atty. Dkt. #639-E-US), Filed January 17, 2006.				
	58	U.S. Office Action, August 7, 2007, for Nai-Kong V. CHEUNG, U.S. Serial No. 11/218,044, Filed August 31, 2005. (Atty Dkt. #639-BZ-PCT-US).				
	59	U.S. Office Action, August 7, 2007, for Nai-Kong V. CHEUNG, U.S. Serial No. 10/621,027, Filed July 16, 2003. (Atty. Dkt. #639-B-PCT-US).				
	60	U.S. Office Action, January 4, 2007, for Nai-Kong V. CHEUNG, U.S. Serial No. 10/621,027, Filed July 16, 2003. (Atty. Dkt. #639-B-PCT-US).				
	61	U.S. Office Action, November 22, 2006, for Nai-Kong V. CHEUNG, U.S. Serial No. 11/218,044, Filed August 31, 2005. (Atty. Dkt. #639-BZ-PCT-US).				
	62	U.S. Office Action, March 10, 2006, for Nai-Kong V. CHEUNG, U.S. Serial No. 11/218,044, Filed August 31, 2005. (Atty. Dkt. #639-BZ-PCT-US).				

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This collection of information is required by 37 CFR 1.96. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application for a patent or patent application under 35 U.S.C. 111. The burden for this collection is estimated to take 120 hours to include gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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Sheet

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of

12

Application Number

10/565,484

Filing Date

January 17, 2006

First Named Inventor

CHEUNG, Nai-Kong V.

Art Unit

1623

Examiner Name

Eric Olson

Attorney Docket Number

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## OTHER PRIOR ART-NON PATENT LITERATURE DOCUMENTS

Examiner Initials* ·	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
63		U.S. Office Action, March 6, 2006, for Nai-Kong V. CHEUNG, U.S. Serial No. 10/621,027, Filed July 16, 2003. (Atty. Dkt. #639-B-PCT-US).	
64		U.S. Office Action, July 13, 2005, for Nai-Kong V. CHEUNG, U.S. Serial No. 10/621,027, Filed July 16, 2003. (Atty. Dkt. #639-B-PCT-US).	
65		U.S. Office Action, December 17, 2004, for Nai-Kong V. CHEUNG, U.S. Serial No. 10/621,027, Filed July 16, 2003, (Atty. Dkt. #639-B-PCT-US).	
66		Beta Glucan Health Center webpage, November 10, 2000, "PLEURAN- Beta-1,3/1-6-Glucan," <a href="http://www.glucon.com/therapy/therapy.com">http://www.glucon.com/therapy/therapy.com</a> .	
67		1999 The Merck Manual of Diagnosis and Therapy, 397-398, 948-949, 1916, 1979-1981.	
68		ADACHI et al., 1990, "Macrophage Activation in Vitro by Chemically Cross-Linked (1-3)- $\beta$ -D-Glucans", Chem. Pharm. Bull., 38(4):988-992.	
69		AZUMA, Ichiro, "Development of Immunostimulants in Japan", Immunostimulants: Now and Tomorrow, 41-56.	
70		BERGMAN et al., 1999, "Treatment of Neoplastic Meningeal Xenografts by Intraventricular Administration of an Antiganglioside Monoclonal Antibody, 3F8," Int. J. Cancer, 82:538-548	
71		BLUHM et al., 1977, "The triple helical structure of lentinan, a linear $\beta$ -(1-3)-D-glucan", Can J Chem, 55:293-299.	
72		BOGWALD et al., 1982, "The Cytoxic Effect of Mouse Macrophages Stimulated in Vitro by a $\beta$ -1,3-D-Glucan from Yeast Cell Walls", Scandinavian Journal of Immunology, 15:297-304.	

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	73	BOHN, J.A., and BeMiller, J.N., 1995, "(1→3)- $\beta$ -Glucans as biological response modifiers: a review of structure-functional activity relationships," Carbohydrate Polymers, 28:3-14				
	74	BOWERS et al., 1989, "Glucan Enhances Survival in an Intraabdominal Infection Model", Journal of Surgical Research, Vol 47(2):183-188				
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	76	CHEUNG, N.-K. V., et al., 2002, "Quantitation of GD2 Synthase mRNA by Real-Time Reverse Transcription-Polymerase Chain Reaction – Utility in Bone Marrow Purging of Neuroblastoma by Anti-GD2 Antibody 3F8," Cancer, 94:3042-3048				
	77	CHEUNG, N.-K. V., et al., June 1985, "Monoclonal Antibodies to a Glycolipid Antigen on Human Neuroblastoma Cells," Canc. Res., 45:2642-2649				
	78	CHIHARA et al., 1970, "Fractionation and purification of the polysaccharides with Marked Antitumor Activity, Especially Lentinan, from Lentinus edodes (Berk.) Sing. (an Edible Mushroom)", Cancer Res, 30:2776-2781				
	79	CHIHARA et al., 1981, "The antitumor polysaccharide Lentinan: an overview", Manipulation of Host Defence Mechanisms, 1-16				
	80	CHIHARA et al., 1982, "Current Status and Perspectives of Immunomodulators of Microbial Origin", International Journal of Tissue Reactions, 4:207-225				
	81	DAMGE et al., December 1996, "Intestinal absorption of PLAGA microspheres in the rat," J. Anat., 189:491-501				
	82	D'AMICO et al., 2000, "Molecular Biologic Substaging of Stage I Lung Cancer According to Gender and Histology," Ann. Thorac. Surg., 69:882-886				

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	83	DAVID et al., 1996, "Growth arrest of solid human neuroblastoma xenografts in nude rats by natural IgM from healthy humans," <i>Nature Medicine</i> , 2:686-689		
	84	DI LUZIO et al., 1985, "Glucans as Immunomodulators", <i>Advances in Immunopharmacology</i> , <i>Permagon Press</i> , NY, 369-375		
	85	DI LUZIO et al., 1980, "Comparative Evaluation of the Tumor Inhibitory and Antibacterial Activity of Solubilized and Particulate Glucan", <i>Recent Results in Cancer Research</i> , 75:165-172		
	86	DI LUZIO, Nicholas R., 1985, "Update on the Immunomodulating Activities of Glucans", <i>Springer Seminars in Immunopathology</i> , 8:387-400		
	87	DI LUZIO, Nicholas R., 2003, "Immunopharmacology of glucan: a broad spectrum enhancer of host defense mechanisms", <i>T.I.P.S.</i> , 344-347		
	88	ENGLER et al., April 1, 2001, "A Novel Metastatic Animal Model Reflecting the Clinical Appearance of Human Neuroblastoma: Growth Arrest of Orthotopic Tumors by Natural Cytotoxic Human Immunoglobulin M Antibodies," <i>Cancer Research</i> 61:2968-2973		
	89	FLORENCE A., 1987, "The oral absorption of micro- and nanoparticulates: Neither exceptional nor unusual," <i>Pharmaceutical Research</i> , 14(3):259-266		
	90	FURUE et al., 1985, "Clinical evaluation of schizophyllan (SPG) in advanced gastric cancer (the second report): a randomized controlled study," <i>Gan To Kagaku Ryoho</i> , 12: 1272-1277		
	91	HAMURO et al., 1971, "The significance of the higher structure of the polysaccharides lentinan and pachymaran with regard to their antitumour activity", <i>Chem. Biol. Interactions</i> , 3:69-71		
	92	HAMURO et al., 1978, "Solid phase activation of alternative pathway of complement by $\beta$ -1,3-glucans and its possible role for tumour regressing activity", <i>Immunology</i> , 34:695-705		

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				Application Number	10/565,484
				Filing Date	January 17, 2006
				First Named Inventor	CHEUNG, Nai-Kong V.
				Art Unit	1623
				Examiner Name	Eric Olson
Sheet	8	of	12	Attorney Docket Number	639-C-PCT-US

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	93	HARADA et al., 1997, "Oral Administration of PSK can Improve the Impaired Anti-Tumor CD4+ T-Cell Response in Gut-Associated Lymphoid Tissue (GALT) of Specific-Pathogen-Free Mice," <i>Int. J. Cancer</i> , 70:362-372				
	94	HELLSTROM, I. et al., September 1986, "Antitumor effects of L6, and IgG2a antibody that reacts with most human carcinomas," <i>Proc. Natl. Acad. Sci. USA</i> , 83:7059-7063				
	95	HERRE et al., February 2004, "Dectin-1 and its role in the recognition of $\beta$ -glucans by macrophages," <i>Mol. Immunol.</i> 40(12):869-876				
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	100	KIM, Y.-S., et al., October 20, 2000, "Gram-negative Bacteria-binding Protein, a Pattern Recognition Receptor for Lipopolysaccharide and $\beta$ -1,3-Glucan That Mediates the Signaling for the Induction of Innate Immunity Genes in <i>Drosophila melanogaster</i> Cells," <i>J. Biol. Chem.</i> , 275(42):32721-32727				
	101	KIRBY et al., 1981, "Oat-bran intake selectively lowers serum low-density lipoprotein cholesterol concentrations of hypercholesterolemic men," <i>American Journal of Clinical Nutrition</i> , 34:824-829				
	102	KOMATSU et al., 1975, "Influence of Schizophyllan, Streptomycin and Rifampicin on Histopathological changes in mice infected with <i>Tubercle Bacilli</i> ," <i>Japanese Journal of Antibiotics</i> , XXVII(4):549-557. (English abstract included)				
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	103	KOTERA, Y., et al., June 1, 1994, "Humoral Immunity against a Tandem Repeat Epitope of Human Mucin MUC-1 in Sera from Breast, Pancreatic, and Colon Cancer Patients," <i>Cancer Res.</i> , 54:2856-2860				
	104	MAEDA et al., 1971, "Lentinan, a new immune-accelerator of cell-mediated responses", <i>Nature</i> , 229:634				
	105	MALONEY et al., September 15, 1997, "IDE-C2B8 (Rituximab) Anti-CD20 Monoclonal Antibody Therapy in Patients With Relapsed Low-Grade Non-Hodgkin's Lymphoma," <i>Blood</i> , 90(6):2188-2195				
	106	MATZINGER, P., 1994, "Tolerance, Danger, and the Extended Family," <i>Annu. Rev. Immunol.</i> , 12:991-1045				
	107	MAYELL M, February 2001, "Maitake Extracts and Their Therapeutic Potential – A Review," <i>Altern. Med. Rev.</i> , 6(1):48-60				
	108	MENDELSOHN et al., 1988, "Monoclonal Antibodies Against the Receptor for Epidermal Growth Factor as Potential Anticancer Agents," <i>Cellular and Molecular Biology of Tumors and Potential Clinical Applications</i> , 307-312				
	109	MENDELSOHN, J., December 1997, "Epidermal Growth Factor Receptor Inhibition by a Monoclonal Antibody as Anticancer Therapy," <i>Clin. Cancer Res.</i> , 3:2703-2707				
	110	NAKAO et al., 1983, "Clinical evaluation of schizophylan (SPG) in advanced gastric cancer-a randomized comparative study by an envelope method," <i>Gan To Kagaku Ryoho</i> , 10: 1146-1159				
	111	NAKAZATO et al., 1994, "Efficacy of immunotherapy as adjuvant treatment after curative resection of gastric cancer," <i>The Lancet</i> , 343:1122-1126				
	112	HIROAKI NANBA and KEIKO KUBO, 1997, "Effect of Maitake D-Fraction on Cancer Prevention," <i>Annal. N.Y. Acad. Sci.</i> 833:204-207				

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	113	NICOLOSI et al., 1999, "Plasma lipid changes after supplementation with $\beta$ -glucan fiber from yeast," Am. J. Clin. Nutr., 70:208-212				
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	118	OXFORD TEXTBOOK OF ONCOLOGY, 1995, "Chemotherapy: General Aspects", Peckham, Pinedo and Veronesi, ed., Vol. 1, 447-453				
	119	PATCHEN et al., 1984, "Soluble Polysaccharides Enhance Recovery from Cobalt-60-Induced Hemopoietic Injury", Journal of Biological Response Modifiers, 3:627-633				
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	123	ROBBINS et al., 1977, "Cholesterol Lowering Effect of Dietary Yeast and Yeast Fractions", Journal of Food Science, 42 (3):694-698			T <sup>2</sup>
	124	SAITO et al., 1977, "A C-N.M.R.-spectral study of a gel forming, branched (1→3)- $\beta$ -D-Glucan, (Lentinan) from Lentinus edodes, and its acid-degraded fractions. Structure, and Dependence of Confirmation on the Molecular Weight", Carbohydrate Research, 58:293-305			
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	132	TORISU et al., 1990, "Significant prolongation of disease-free period gained by oral polysaccharide K (PSK) administration after curative surgical operation of colorectal cancer," Cancer Immunology Immunotherapy, 31 (5):261-268			

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